



SECTOR  
PATENT # 43

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of  
SLOAN et al.  
Application No. 09/705,255  
Filed: November 1, 2000  
For: AUTOMATED COACHING FOR A  
FINANCIAL MODELING AND  
COUNSELING SYSTEM

Examiner: Not assigned

Group Art Unit: Not assigned

Date: August 13, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail to: Commissioner for Patents, Washington, D.C. 20231 on August 13, 2001.

Signed: \_\_\_\_\_

Yvonne Mock

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents  
**BOX: MISSING PARTS**  
Washington, DC 20231

Sir:

Enclosed herewith are the original, executed Declaration and Power of Attorney for Patent Application and Assignment and Assignment Recordation Sheet in response to the Notice to File Missing Parts of Application--Filing Date Granted mailed March 13, 2001. Please file these documents in the subject application.

Applicant hereby requests a three-month extension of time to August 13, 2001 in which to respond to Notice to File Missing Parts of Application--Filing Date Granted mailed March 13, 2001. The Commissioner is authorized to charge the following fees and any other fees that are due to our Deposit Account No. 50-0797 (Order No. 60021.376001):

1) Filing Fee	\$ 710.00
2) Assignment Recordation Fee	\$ 40.00
3) Four excess claims	\$ 72.00
3) Three-month Extension Fee	\$ 890.00
4) Missing Parts Surcharge	\$ 130.00
Total	<u>\$1842.00</u>

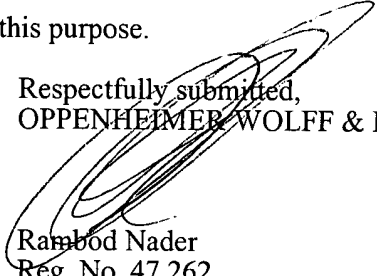
09/20/2001 SHINASSA 00000022 09705255

04 10:17 890.00 CH

Attny Docket No. 60021.376001

A copy of this sheet is enclosed for this purpose.

Respectfully submitted,  
OPPENHEIMER WOLFF & DONNELLY, LLP



Rambod Nader  
Reg. No. 47,262

1400 Page Mill Road  
Palo Alto, CA 94304  
Phone: (650) 320-4358  
Fax: (650) 320-4200



#3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

re Application of	Atty. Docket
MICHAEL D. PASHLEY ET AL	US 000386
Serial No. 09/749,139	Group Art Unit: 2875
Filed: DECEMBER 27, 2000	
SIDE-EMITTING ROD FOR USE WITH AN LED-BASED LIGHT ENGINE	

Commissioner for Patents, Washington, D.C. 20231  
ATTENTION: APPLICATION DIVISION

RESPONSE TO NOTICE TO FILE MISSING  
 PARTS OF APPLICATION

Sir:

In response to the NOTICE TO FILE MISSING PARTS OF APPLICATION mailed on FEBRUARY 12, 2001, enclosed is a Declaration, properly signed by the Applicant(s) and referring to the above case by its Serial Number and filing date, in compliance with 37 CFR 1.63, and a copy of the Notice. Accordingly, the above-identified patent application is now complete.

Please charge Deposit Account No. 14-1270 in the amount of \$130.00 for the surcharge for filing the Declaration on a date later than the filing date of the application, as set forth in 37 CFR 1.16(e).

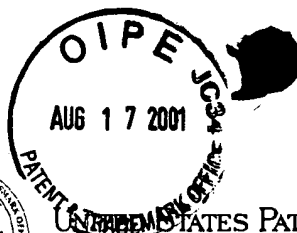
Respectfully submitted,

By *[Signature]*  
 Aaron Waxler, Reg. 48,027  
 Attorney  
 (914) 333-9608

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited this date with the United States Postal Service as first-class mail in an envelope addressed to:  
 COMMISSIONER OF PATENTS AND TRADEMARKS  
 Washington, D.C. 20231

On 08/15/2001  
 (Mailing Date)  
 By *[Signature]*  
 (Signature)



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/705,255	11/01/2000	Ronald Sloan	AND1P760

CONFIRMATION NO. 4475

## FORMALITIES LETTER



\*OC000000005856100\*

HICKMAN COLEMAN & HUGHES, LLP  
P.O. Box 52037  
Palo Alto, CA 94303-0746

Date Mailed: 03/13/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

06/20/2001 SHINASS1 00000022 500797 09705255

FILED UNDER 37 CFR 1.53(b)

01 FC:101 710.00 CH  
02 FC:103 72.00 CH  
03 FC:105 130.00 CH

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$72.  
    ▪ \$72 for 4 total claims over 20.
- The oath or declaration is missing.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 912.

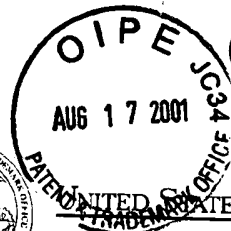
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*A copy of this notice MUST be returned with the reply.*

*Request w/ld eyes*  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/749,139	12/27/2000	Michael D. Pashley	US000386

CONFIRMATION NO. 4745

## FORMALITIES LETTER



\*OC000000005756464\*

Jack E. Haken  
c/o U.S. PHILIPS CORPORATION  
Intellectual Property Department  
580 White Plains Road  
Tarrytown, NY 10591

Date Mailed: 02/12/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

*A copy of this notice MUST be returned with the reply.*

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Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

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